

Exhibit K

NASD Dispute Resolution

www.nasd.com

Northeast Region

One Liberty Plaza • 165 Broadway • 27th Floor

New York NY • 10006-1400 • 212-858-4200 • Fax 301-527-4873



Via Certified Mail

November 9, 2006

Gerald E. Harper, Esq.
Paul, Weiss, Rifkind, Wharton & Garrison
1285 Avenue of the Americas
New York, NY 10019-6064

Subject: NASD Dispute Resolution Arbitration Number 06-00534
Jeffrey S. Vaughn v. Leeds, Morelli & Brown, P.C., Leeds, Morelli & Brown, L.L.P.,
Prudential Securities, Inc., et al.

Dear Mr. Harper:

Your case is ready for the next phase of the pre-hearing process. Below is information on:

- Verification of your contact information;
- The composition of the panel;
- How to select the chairperson;
- The initial pre-hearing conference;
- How to opt out of the initial pre-hearing conference;
- Procedure to reschedule the initial pre-hearing conference;
- Fees;
- Discovery; and
- Mediation.

Verify Your Contact Information

The enclosed Case Information Sheet reflects the contact information that we have on file. If the contact information is incorrect or if we do not have a telephone number for you, immediately contact this office with your contact information.

Panel Composition

NASD Dispute Resolution appointed an arbitration panel based upon the parties' consolidated lists. Pursuant to Rule 10308(c) of the NASD's *Code of Arbitration Procedure* (the "Code"), the enclosed Case Information Sheet lists the arbitration panel's composition. The arbitrators' classifications as public or non-public are accurate at the time of their appointment.

Selecting the Chairperson

The parties' next step is to unanimously agree on which of the three arbitrators should serve as

the chairperson.

Effective September 17, 2004, Rule 10308(c)(5) of the *Code* was amended to expedite the chairperson selection process. Parties now have seven days to agree on the selection of the chairperson. Parties may receive up to an additional eight days if they jointly advise NASD Dispute Resolution in writing before November 21, 2006 that they need additional time to agree on the selection of the chairperson.

Please let us know the parties' preference on or before November 21, 2006. If we do not have the parties' unanimous agreement by that date, we will select the chairperson. We will also select the chairperson if we do not receive the parties' joint request for additional time on or before November 21, 2006.

Initial Pre-Hearing Conference

Pursuant to Rule 10321(d)(1) of the *Code*, the telephonic initial pre-hearing conference is scheduled for December 7, 2006 at 01:00 PM. The purpose of the conference is to set hearing dates, a discovery schedule (if necessary), and identify any issues that may require arbitrator intervention. Prior to the conference, please confirm the availability of **all** witnesses and have a realistic estimate of the time you will need to present your case. Also, please have your scheduling calendar ready at the initial pre-hearing conference.

You will be called on December 7, 2006 at the telephone number listed on the enclosed Case Information Sheet or the corrected number that you have provided. If you will not be at this telephone number on the date and time of the initial pre-hearing conference, described above, you may join the conference by dialing 1-888-566-7812. You will be asked for a password and the name of the conference host. The password is the arbitration case number including the zeroes and the conference host is the Chairperson.

Opting Out of the Initial Pre-hearing Conference

Parties may opt out of the initial pre-hearing conference provided that the request to do so is a joint one and includes a proposed order for the panel's review and approval. It is within the panel's discretion to grant or deny the parties' request to opt out of the initial pre-hearing conference. The proposed order should address all items included in the Initial Pre-hearing Conference Scheduling Order. Parties may obtain a copy of the order from our Web site, www.nasd.com.

Procedure to Reschedule the Initial Pre-hearing Conference

If the above date is not convenient, you may request that the panel reschedule the initial pre-hearing conference. Any request to reschedule the conference must include **four mutually agreed upon dates and times** to reschedule the conference. We will not send a party's request to reschedule the conference to the panel unless we receive proposed agreed upon rescheduled dates and times. If you would like the panel to reschedule the conference, you must submit, in writing, the agreed upon dates and times within 14 days of the date of this letter.

Fees

The panel will assess the cost of the initial pre-hearing conference to the parties at the end of the case. The panel may require that the parties submit additional hearing session deposits pursuant to Rule 10332(a) or 10205(a) of the *Code*. For information on the hearing session deposit and forum

fees, please review the above-listed sections of the *Code*.

If you are counsel representing a party, it is your responsibility to ensure that your client understands his/her responsibilities regarding fees and/or deposits.

Discovery

For NASD public customers, the Discovery Guide, which includes Document Production Lists, provides the parties with guidance on which documents they should exchange without arbitrator or staff intervention. It also provides guidance to the arbitrators in determining which documents customers and member firms and/or associated persons are presumptively required to produce in customer arbitration cases. You may obtain a copy of the Discovery Guide from our Web site, www.nasd.com.

Mediation

NASD Dispute Resolution has a successful, voluntary mediation program. Are you interested in mediation? If yes, please check the following box and return a copy of this letter to our office. []

Please contact our office if you have any questions.

Northeast Processing Center
neprocessingcenter@nasd.com
(212)858-4200 Fax:(301)527-4873

NPC:AP:LC08P

RC:12/04

Enclosures

CC:

Lewis S. Kurlantzick
Doris Lindbergh, Esq.
Nathan M. Lubow

RECIPIENTS:

Rebecca Saenger, Esq., Jeffrey S. Vaughn
Liddle & Robinson, L.L.P., 800 Third Avenue, New York, NY 10022

Gerald E. Harper, Esq., Prudential Equity Group, LLC
Paul, Weiss, Rifkind, Wharton & Garrison, 1285 Avenue of the Americas, New York,
NY 10019-6064

Shari Claire Lewis, Esq., Leed Morelli & Brown, P.C.,
Rivkin Radler LLP, 926 Reckson Plaza, Uniondale, NY 11556-0926

Shari Claire Lewis, Esq., Leeds Morelli & Brown, L.L.P
Rivkin Radler LLP, 926 Reckson Plaza, Uniondale, NY 11556-0926

Shari Claire Lewis, Esq., Leeds & Morelli
Rivkin Radler LLP, 926 Reckson Plaza, Uniondale, NY 11556-0926

Shari Claire Lewis, Esq., Leeds Morelli & Brown
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Shari Claire Lewis, Esq., Lenard Leeds
Rivkin Radler LLP, 926 Reckson Plaza, Uniondale, NY 11556-0926

Shari Claire Lewis, Esq., Steven A. Morelli
Rivkin Radler LLP, 926 Reckson Plaza, Uniondale, NY 11556-0926

Shari Claire Lewis, Esq., Jeffrey K. Brown
Rivkin Radler LLP, 926 Reckson Plaza, Uniondale, NY 11556-0926

Gerald E. Harper, Esq., Prudential Financial Inc.
Paul, Weiss, Rifkind, Wharton & Garrison, 1285 Avenue of the Americas, New York,
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Rivkin Radler LLP, 926 Reckson Plaza, Uniondale, NY 11556-0926

Shari Claire Lewis, Esq., Frederic David Ostrove
Rivkin Radler LLP, 926 Reckson Plaza, Uniondale, NY 11556-0926

Shari Claire Lewis, Esq., John Robert Valli, Jr.
Rivkin Radler LLP, 926 Reckson Plaza, Uniondale, NY 11556-0926

Company Office, Discrimination On Wall Street Inc.
Discrimination on Wall Street Inc., One Old Country Road, Carle Place, NY 11514

Company Officer, Discrimination on Wall St. Manhattan,
Discrimination on Wall St. Manhattan Inc, One Old Country Road, Carle Place,
NY 11514

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November 9, 2006

Gerald E. Harper, Esq.
Paul, Weiss, Rifkind, Wharton & Garrison
1285 Avenue of the Americas
New York, NY 10019-6064

Subject: NASD Dispute Resolution Arbitration Number 06-00534
Jeffrey S. Vaughn v. Leeds, Morelli & Brown, P.C., Leeds, Morelli & Brown, L.L.P.,
Prudential Securities, Inc., et al.

Dear Mr. Harper:

Rule 10334 of the *NASD Code of Arbitration Procedure (Code)* has been amended to allow for direct communication between the parties and arbitrators to an arbitration proceeding. To participate under the Rule, all parties must be represented by counsel. Also, all parties and arbitrators must agree to the procedures. If a party chooses to proceed without counsel after agreeing to proceed under Rule 10334 of the *Code*, the case will no longer be processed under the Rule. As a result, counsel for the parties must immediately notify all other parties, the arbitrators, and the assigned NASD Dispute Resolution case administrator if counsel no longer represents a party in the case.

Agreement to Proceed Under the Rule

The agreement to proceed under Rule 10334 must be outlined in the written order of the arbitration panel. Direct communication between the parties and arbitrators is limited to the transmission of correspondence as outlined in the Initial Pre-hearing Conference Scheduling Order (Order) or subsequent order of the panel. The current versions of the Initial Pre-hearing Conference Script and Initial Pre-hearing Conference Scheduling Order are available on our Web site at www.nasdadr.com. Parties should send all other correspondence not specifically outlined in the Order to the NASD Dispute Resolution case administrator who is assigned to your case. The mailing should include the appropriate number of copies for distribution to the arbitration panel.

Transmission of Documents

If the parties agree to proceed under the Rule, they must send a copy of any document identified in the Order to their opposing counsel and the NASD Dispute Resolution case administrator on the same day and by the same method of transmission (e.g., facsimile, overnight courier, electronic mail, or U.S. mail). However, if the document exceeds 15 pages, parties must send the NASD Dispute Resolution a copy by overnight courier or U.S. mail. Parties and arbitrators may also agree to a similar page limit. Parties may use electronic mail or facsimile only if all parties and arbitrators have such capability, which must be verified at the Initial Pre-hearing Conference or a later conference.

If the parties and arbitrators agree to use electronic mail, NASD Dispute Resolution recommends

that all parties and arbitrators include the following or similar paragraph in their electronic mail messages.

This message contains confidential information and is intended for the recipient. If you are not the intended recipient you are notified that disclosing, copying, distributing or taking any action in reliance on the contents of this information is strictly prohibited. Email transmission cannot be guaranteed to be secure or error-free as information could be intercepted, corrupted, lost, destroyed, arrive late or incomplete, or contain viruses. The sender therefore does not accept liability for any errors or omissions in the contents of this message, which arise as a result of any email transmission sent or received. If verification is required, please request a hard-copy version.

If the parties and arbitrators agree to use facsimile, NASD Dispute Resolution recommends that all parties and arbitrators include the following or similar paragraph on their fax cover page.

This fax transmittal is strictly confidential and is intended solely for the person or organization to which it is addressed. If you have not received all pages of this fax, please call <insert telephone number>.

The parties are still prohibited from direct verbal communication with any member of the panel except in the presence of all parties or representatives. Please call my office if you have any questions.

Northeast Processing Center
neprocessingcenter@nasd.com
(212)858-4200 Fax:(301)527-4873

NPC:AP:LC53B
rc:09/04

RECIPIENTS:

Rebecca Saenger, Esq., Jeffrey S. Vaughn
Liddle & Robinson, L.L.P., 800 Third Avenue, New York, NY 10022

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Discrimination on Wall St. Manhattan Inc, One Old Country Road, Carle Place,
NY 11514

Lewis S. Kurlantzick
Doris Lindbergh, Esq.
Nathan M. Lubow

Case Information Sheet

1. **CASE INFORMATION:**

- A. CASE-NUMBER: 06-00534
- B. CASE-NAME: Jeffrey S. Vaughn v. Leeds, Morelli & Brown, P.C., Leeds, Morelli & Brown, L.L.P., Prudential Securities, Inc., et al.
- C. NASD Dispute Resolution
REPRESENTATIVE: Northeast Processing Center
neprocessingcenter@nasd.com
NASD Dispute Resolution
One Liberty Plaza
165 Broadway, 27th Floor
New York, NY 10006
(212)858-4200 Fax:(301)527-4873
- D. HEARING DATE: December 7, 2006 at 01:00 PM
- E. ADDITIONAL HEARING SESSIONS: none.
- F. HEARING
LOCATION: Initial Pre-hearing Conference Call
, NY

2. **PARTY REPRESENTATIVE INFORMATION:**

REPRESENTATIVE:

Rebecca Saenger, Esq., Liddle & Robinson, L.L.P.
Phone: 212-687-8500, Fax: 212-687-1505
Email: rsaenger@liddlerobinson.com

PARTY(IES):

Jeffrey S. Vaughn, Claimant

REPRESENTATIVE:

Gerald E. Harper, Esq., Paul, Weiss, Rifkind, Wharton & Garriss
Phone: 212-373-3263, Fax: 212-492-0263
Email: gharper@paulweiss.com

PARTY(IES):

Prudential Equity Group, LLC, Respondent
Prudential Financial Inc., Respondent

REPRESENTATIVE:

Company Office, Discrimination on Wall Street Inc.

Phone: unknown, Fax: unknown

Email: unknown

PARTY(IES):

Discrimination On Wall Street Inc., Respondent

REPRESENTATIVE:

Company Officer, Discrimination on Wall St. Manhattan I

Phone: unknown, Fax: unknown

Email: unknown

PARTY(IES):

Discrimination on Wall St. Manhattan,, Respondent

REPRESENTATIVE:

Shari Claire Lewis, Esq., Rivkin Radler LLP

Phone: 516-357-3292, Fax: 516-357-3333

Email: shari.lewis@rivkin.com

PARTY(IES):

Leed Morelli & Brown, P.C.,, Respondent

Leeds Morelli & Brown, L.L.P, Respondent

Leeds & Morelli, Respondent

Leeds Morelli & Brown, Respondent

Lenard Leeds, Respondent

Steven A. Morelli, Respondent

Jeffrey K. Brown, Respondent

James Vagnini, Respondent

Frederic David Ostrove, Respondent

etc.

3. ARBITRATION PANEL:

Lewis S. Kurlantzick Public Arbitrator Panelist

University of Connecticut Law School

Doris Lindbergh, Esq. Industry Arbitrator Panelist

Nathan M. Lubow Public Arbitrator Panelist

LC20B

rc:07/04

RECIPIENTS:

Gerald E. Harper, Esq., Prudential Equity Group, LLC

Paul, Weiss, Rifkind, Wharton & Garrison, 1285 Avenue of the Americas, New York,
NY 10019-6064

CERTIFICATE OF ARBITRATOR'S EXHIBIT NO. 1

The documents on this list comprise Arbitrator's Exhibit No. 1. If a document is not identified, it was not received. If this list is not accurate, please contact NASD Dispute Resolution immediately. Arbitrators must read all documents in Arbitrator's Exhibit No. 1 prior to a hearing.

The list of documents may include certain NASD Dispute Resolution notices to the parties.

Case Number 06-00534 Staff Assigned NPC

Name of Claimant(s) <u>JEFFREY S. VAUGHN (IND) & ON BEHALF OF OTHERS</u>	
Submission Agreement	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Statement of Claim	<input checked="" type="checkbox"/>
Amended Statement of Claim	
Motion to	
Responses to Motion	
Reply to Motion	
Other	

Name of Respondent No. <u>LEEDS, MORELLI & BROWN, P.C.</u>	
Submission Agreement	Yes <input type="checkbox"/> No <input type="checkbox"/>
Statement of Answer	
Joint with:	
Request for Clarification	
Counterclaim	
Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	

Date Initially Sent to Parties _____

Response to Motion	
Reply to Motion	
Other	

Name of Respondent No. 2 <u>LEEDS, MORELLI & BROWN, L.L.P.</u>	
Submission Agreement	Yes [] No []
Statement of Answer Joint with:	
Request for Clarification	
Counterclaim	
Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	
Response to Motion	
Reply to Motion	
Other	

Name of Respondent No. 3 <u>LEEDS & MORELL</u>	
Submission Agreement	Yes [] No []
Statement of Answer Joint with:	
Request for Clarification	
Counterclaim	

Date Initially Sent to Parties _____

Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	
Response to Motion	
Reply to Motion	
Other	

Name of Respondent No. 4 <u>LEEDS, MORELLI & BROWN</u>	
Submission Agreement	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Statement of Answer Joint with:	
Request for Clarification	
Counterclaim	
Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	
Response to Motion	
Reply to Motion	

Date Initially Sent to Parties _____

Other	
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Name of Respondent No. <u>S. PRUDENTIAL SECURITIES, INC.</u>	
Submission Agreement	Yes [] No []
Statement of Answer Joint with:	
Request for Clarification	
Counterclaim	
Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	
Response to Motion	
Reply to Motion	
Other	

NASD Dispute Resolution Notices to the Parties	
Deficiency Notice	
Other	

Date Initially Sent to Parties _____

Other	
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Name of Respondent No. 6 - PRUDENTIAL FINANCIAL, INC.	
Submission Agreement	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>]
Statement of Answer Joint with:	<input checked="" type="checkbox"/>
Request for Clarification	
Counterclaim	
Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	
Response to Motion	
Reply to Motion	
Other	

NASD Dispute Resolution Notices to the Parties	
Deficiency Notice	
Other	

Date Initially Sent to Parties _____

Other	
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Name of Respondent No. 7. <u>LEONARD LEEDS</u>	
Submission Agreement	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>]
Statement of Answer Joint with:	<input checked="" type="checkbox"/>
Request for Clarification	
Counterclaim	
Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	
Response to Motion	
Reply to Motion	
Other	

NASD Dispute Resolution Notices to the Parties	
Deficiency Notice	
Other	

Date Initially Sent to Parties _____

Other	
-------	--

Name of Respondent No. 8. STEVEN A. MORELLI	
Submission Agreement	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>]
Statement of Answer Joint with:	✓
Request for Clarification	
Counterclaim	
Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	
Response to Motion	
Reply to Motion	
Other	

NASD Dispute Resolution Notices to the Parties	
Deficiency Notice	
Other	

Date Initially Sent to Parties _____

Other	
-------	--

Name of Respondent No. 9. JEFFREY K. BROWN	
Submission Agreement	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Statement of Answer Joint with:	✓
Request for Clarification	
Counterclaim	
Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	
Response to Motion	
Reply to Motion	
Other	

NASD Dispute Resolution Notices to the Parties	
Deficiency Notice	
Other	

Date Initially Sent to Parties _____

Other	
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Name of Respondent No. 10 JAMES VAGNINI	
Submission Agreement	Yes [4] No []
Statement of Answer Joint with:	✓
Request for Clarification	
Counterclaim	
Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	
Response to Motion	
Reply to Motion	
Other	

NASD Dispute Resolution Notices to the Parties	
Deficiency Notice	
Other	

Date Initially Sent to Parties _____

Other	
-------	--

Name of Respondent No. 11. FREDERICK DAVID OSTROVE	
Submission Agreement	Yes [<input checked="" type="checkbox"/>] No [<input type="checkbox"/>]
Statement of Answer Joint with:	✓
Request for Clarification	
Counterclaim	
Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	
Response to Motion	
Reply to Motion	
Other	

NASD Dispute Resolution Notices to the Parties	
Deficiency Notice	
Other	

Other	
-------	--

Name of Respondent No. 12. ROBERT JOHN VALLI, JR	
Submission Agreement	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
Statement of Answer Joint with:	✓
Request for Clarification	
Counterclaim	
Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	
Response to Motion	
Reply to Motion	
Other	

NASD Dispute Resolution Notices to the Parties	
Deficiency Notice	
Other	

Date Initially Sent to Parties _____

Other	
-------	--

Name of Respondent No. 13 - DISCRIMINATION ON WALL STREET, INC.	
Submission Agreement	Yes [] No []
Statement of Answer Joint with:	
Request for Clarification	
Counterclaim	
Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	
Response to Motion	
Reply to Motion	
Other	

NASD Dispute Resolution Notices to the Parties	
Deficiency Notice	
Other	

Date Initially Sent to Parties

Other	
-------	--

Name of Respondent No. 14. DISCRIMINATION ON WALK STREET MANHATTAN, INC.	
Submission Agreement	Yes [] No []
Statement of Answer Joint with:	
Request for Clarification	
Counterclaim	
Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	
Response to Motion	
Reply to Motion	
Other	

NASD Dispute Resolution Notices to the Parties	
Deficiency Notice	
Other	

Date Initially Sent to Parties _____

Other	
-------	--

Name of Respondent No. 15 JOHN JOSS, 1-10 AND JANE JOSS, 1-10	
Submission Agreement	Yes [] No []
Statement of Answer Joint with:	
Request for Clarification	
Counterclaim	
Cross Claim vs.	
Third-Party Claim vs.	
Amended Statement of Answer	
Response to Amended Statement of Claim	
Response to Cross Claim	
Response to Third-Party Claim	
Motion to	
Response to Motion	
Reply to Motion	
Other	

NASD Dispute Resolution Notices to the Parties	
Deficiency Notice	
Other	

Date Initially Sent to Parties _____

NASD Dispute Resolution Services

Arbitrator ID: A11378

Arbitrator Disclosure Report

Arbitrator information, other than the publicly available awards section, below, last amended on 10/17/2006

ARBITRATOR

Name: Mr. Lewis S. Kurlantzick
Arbitrator ID: A11378
City/State/Country: Hartford / CT / United States

Skills in Controversy:

Employment - Breach of Contract, Employment -
 Commissions, Employment - Compensation, Employment -
 Discrim. Age, Employment - Discrim. Disability, Employment -
 Discrim. Gender, Employment - Discrim. National Origin,
 Employment - Discrim. Race, Employment - Discrim. Religion,
 Employment - Employment Discrimination, Employment -
 Discrim. Sexual Orientation, Employment - Libel or Slander,
 Employment - Partnerships, Employment - Promissory Notes,
 Employment - Retaliation, Employment - Sexual Harassment,
 Employment - Training Contracts, Employment - Wrongful
 Termination

Classification: Public**NASD Mediator:** No**Skills in Securities:**

there is no neutral skills in securities data available

Injunctive Qualified - This arbitrator is an attorney and has reported experience litigating cases involving injunctive relief.

EMPLOYMENT

<u>Start Date</u>	<u>End Date</u>	<u>Firm</u>	<u>Position</u>
01/1969		University of Connecticut Law School	Professor of Law

EDUCATION

<u>Start Date</u>	<u>End Date</u>	<u>School</u>	<u>Degree</u>
01/1965	01/1968	Harvard Law School	LLB/JD
01/1961	01/1965	Wesleyan University	BA

TRAINING

<u>Completed</u>	<u>Description</u>	<u>Details</u>	<u>Firm/School</u>	<u>Hours</u>	<u>Location</u>
08/2004	Expungement online mini-course		NASD	1.5	online
10/1998	Intro Securities Arbitrator Training		Back to Basics		
01/1993	Intro Securities Arbitrator Training		AAA Securities Arbitration Training		New York, NY

DISCLOSURE/CONFLICT INFORMATION

<u>Type</u>	<u>Firm Name</u>	<u>Details</u>
Has an account with	Citigroup Global Markets, Inc.	Salomon Smith Barney, Inc. (has)
Arbitrator for		AAA
Is a member of		American Association of University Professionals

NASD Dispute Resolution Services	Arbitrator ID: A11378
Member of Bar Association	American Bar Association
Member of Bar Association	Connecticut
Has published	Missing Witnesses, Missing Testimony/Theories
Arbitrator for	NYSE
Member of Bar Association	New York

PUBLICLY AVAILABLE AWARDS

Publicly Available Awards Section, Current as of 11/10/2006

<u>Case ID</u>	<u>Case Name</u>	<u>Close Date</u>
05-05632	Patricia L. Coughlin Ind. and on behalf of the Patricia L. Coughlin Rollover IRA v. Legg Mason Wood Walker, Inc.	11/01/2006
04-02978	Stefanos Sertsionas vs. UBS PaineWebber, Carlos Garcia, Hugh McIlrevey and David Moran	05/15/2006
04-08079	William N. Leporini, Marie Leporini, William J. Leporini, et al. vs. First Albany Corporation, et al.	04/13/2006
03-08438	Greenbush Tape and Label, Inc. v. Merrill Lynch Pierce et al *****CONSOLIDATED WITH CASE # 03-84444***MASTER CASE****	05/13/2005
03-05133	Garland F. Gonseth and Bernard F. Larkin vs McDonald Investments, Inc. and David E. Soderquist	10/15/2004
03-03654	Vincent De Fina and Barbara Devine De Fina vs Merrill, Lynch, Pierce, Fenner & Smith, Inc. and Daniel J. McMahon	08/13/2004
00-00730	Norman Sneider v. Morgan Stanley Dean Witter; Vincent Leto; and Richard J. Less	11/11/2003
01-00627	Barbara Shopkorn v. Republic New York Securities; Martin Hovance and Philip Dobkin	02/15/2002
99-03438	Robert Tully v. Advest, Inc. and Gary Halter	08/16/2001
97-05306	Ali Malihi vs. PaineWebber, Inc., James Simcoke and John Borgese	07/13/2000
99-01094	Martin and Marilyn Schottanes v. Olde Discount Corporation; Ernest J. Olde; Stanley A. Snider and Daniel D. Katzman	05/11/2000
99-05027	Darrell E. DeVeaux vs. E*Trade Securities	04/25/2000
98-04984	Antoni Niziolek and Helena Niziolek vs. Christoher L. Miano and PCM Securities	12/22/1999
94-03336	Charles W. Sullivan vs. RAF Financial Corporation, VTR Capital, Inc., etal. v. Patrick Eugene Brake, Sr.	07/29/1998
95-03199	PaineWebber, Inc. vs. Walter Cahn	02/29/1996
93-00356	James C. and Mary Murphy vs. Invest Financial Corporation and David Grimaldi	06/07/1994
92-02604	Bonnie and Thomas O'Malley vs. Lawrence Greenberg, Thomas James Associates, Joseph Olmsted, Dirk Nye and Martin Coffey	08/12/1993

ARBITRATOR BACKGROUND INFORMATION

The bulk of my professional career has been spent at the University of Connecticut Law School where I have been a Professor of Law since 1968. I have taught, written, and consulted in the areas of Contracts, Copyright, and Sports Law. I am a member of the American Arbitration Association's Commercial panel and have sat as an arbitrator in Contracts, Copyright, and sports disputes. I also served recently as a Special Master in a breach of contract-corporate dispute in federal court in Connecticut.

I am a Public Member of the arbitration panels for the New York Stock Exchange (NYSE), American Stock Exchange (ASE), and I have sat on one or two securities cases each year for the NYSE and NASD. While most of these cases involved disputes between dissatisfied customers and their brokers and brokerage firms, at least one dealt with an employment dispute between a broker and his firm-employer.

NASD Dispute Resolution Services

Arbitrator ID: A11378

I expect to begin teaching a course on Arbitration in the next academic year. I am a co-author of Missing Witnesses, Missing Testimony, and Missing Theories: How Much Initiative by Labor Arbitrators? (1987).

I am a 1965 graduate of Wesleyan University and graduated from Harvard Law School in 1968.

I was admitted to the New York Bar in 1969.

NASD Dispute Resolution Services

Arbitrator ID: A31440

Arbitrator Disclosure Report

Arbitrator information, other than the publicly available awards section, below, last amended on 10/06/2006

ARBITRATOR

Name: Doris Lindbergh, Esq.
Arbitrator ID: A31440
City/State/Country: New York / NY / United States

Skills in Controversy:

Account Related - Dividends, Account Related - Margin Calls,
 Account Related - Transfer, Executions - Execution Price,
 Executions - Limit v. Market Order, Employment -
 Commissions, Employment - Discrim. Age, Employment -
 Discrim. Disability, Employment - Discrim. Gender,
 Employment - Discrim. National Origin, Employment -
 Discrim. Race, Employment - Discrim. Religion, Employment -
 Employment Discrimination, Employment - Sexual
 Harassment, Employment - Training Contracts, Other -
 Recruitment Disputes, Trading Disputes - Buy In, Trading
 Disputes - Mark-ups, Trading Disputes - Sell Outs

Classification: Non-Public
NASD Mediator: Yes

Skills in Securities:

Annuities, Common Stock, Corporate Bonds, Government
 Securities, Limited Partnerships, Mutual Funds, Municipal
 Bonds, Municipal Bond Funds, Options, Preferred Stock, Real
 Estate Investment Trust, Stock Index Futures,
 Warrants/Rights

EMPLOYMENT

<u>Start Date</u>	<u>End Date</u>	<u>Firm</u>	<u>Position</u>
01/1993		Unemployed	not provided
05/1989	02/1993	Smith Barney	Registered Representative
06/1986	05/1989	Drexel Burnham Lambert	Registered Representative
03/1981	06/1986	Drexel Burnham Lambert	Branch Manager
01/1978	03/1981	Drexel Burnham Lambert	Associate Counsel

EDUCATION

<u>Start Date</u>	<u>End Date</u>	<u>School</u>	<u>Degree</u>
01/1975	01/1977	Washington University School of Law	JD
01/1974	01/1975	Fordham University	not provided
07/1970	01/1971	Fordham University Graduate Arts	MA (1983)
01/1966	01/1970	College of Mount St. Vincent	BA French

TRAINING

<u>Completed</u>	<u>Description</u>	<u>Details</u>	<u>Firm/School</u>	<u>Hours</u>	<u>Location</u>
06/2006	Mediation Training		Queens Mediation Inservice Training	3	
10/2005	Mediation Training		Queens Mediation Inservice Training	3	
06/2005	Mediation Training		Civil Court Mediation	3	

NASD Dispute Resolution Services				Arbitrator ID:	A31440
04/2005	Mediation Training	US Equal Employment Opportunity	16		
10/2004	Mediation Training	Queens Mediation Network	30		
08/2004	Expungement online mini-course	NASD	1.5	online	
05/2004	Additional Securities Training	NYSE		New York, NY	
10/2003	Non-Securities Related Training	National Futures Assn. Arb Trng		New York, NY	
05/2003	Mediation Training	Center for Med Intensive Training	36		
10/2002	Additional Securities Training	NYSE		New York, NY	
06/2002	Additional Securities Training	NYSE		New York, NY	
12/2001	New Chairperson Training [NASD]	NASD	11	location varies	
11/2000	Additional Securities Training	NYSE Arbitrator Training	4	New York, NY	
11/2000	New Panel Member Training [NASD]	NASD	11	location varies	
10/2000	Additional Securities Training	National Futures Association	9	New York, NY	

DISCLOSURE/CONFLICT INFORMATION

<u>Type</u>	<u>Firm Name</u>	<u>Details</u>
Has an account with	Ameritrade, Inc nka J.P. Securities Inc	Ameritrade (has)
Has an account with	Charles Schwab & Co., Inc.	Charles Schwab (has)
Has an account with	Citigroup Global Markets, Inc.	Citigroup/Smith Barney (has)
Has published		Construction of a Will and the Threshold.....
Had an account with		Dreyfus (had)
Is a member of		Eastern/Southern Districts, Federal
Has an account with		Muriel Siebert (has)
Licensed to Practice		NYS insurance (life, accident health) (was)
Arbitrator for		NYSE
Is a member of		National Association of Female Executives (past)
Arbitrator for		National Futures Association
Licensed to Practice Law in		New York (retired)
Member of Bar Association		New York State
Mediator for		New York State Community DR Program (certified)
Holds Securities License(s)		Series 7, 8 and 63 (inactive)
Family member had relationship with	Bear Stearns & Co., Inc.	Son had summer internship with Bear Stearns
Was employed by	Citigroup Global Markets, Inc.	Smith Barney (was)

· NASD Dispute Resolution Services

Arbitrator ID: A31440

Was employed by

Drexel Burnham Lambert, Inc.

Drexel Burnham Lambert (was)

PUBLICLY AVAILABLE AWARDS

Publicly Available Awards Section, Current as of 11/10/2006

<u>Case ID</u>	<u>Case Name</u>	<u>Close Date</u>
05-05984	Merrill Lynch Pierce Fenner & Smith, Inc. v. Edwin Nazaire	06/13/2006
05-03044	Fidelity Brokerage Services, LLC v Matthew H. Adams	05/09/2006
02-03304	Greg Thomas O'Brien and Tamma C. O'Brien vs. Merrill Lynch, Pierce, Fenner & Smith, Inc., Kevin J. Donovan, et al	01/12/2006
03-08353	Marian Kamath and Sharrel Kamath vs. Joanne V. Graham and Merrill Lynch Pierce Fenner & Smith Inc.	03/17/2005
02-03919	Marie Fehmi Jreije, Amine Fehmi, Adel Fehmi, and Adel Fehmi and Linda Fehmi v. Credit Suisse First Boston Corp et al	05/11/2004
00-03560	Brian Gilmartin v. Cantor Fitzgerald Securities and Joseph Kelly	03/12/2004
02-05716	UBS PaineWebber, Inc. vs. John Santaniello	01/30/2004
03-07320	Salvatore Abbattiello vs. Credit Suisse First Boston LLP	12/01/2003
02-05861	Paul Joyce and Joanne Joyce vs. Morgan Stanley Dean Witter and Thomas Lewis Tartaglia, Jr.	07/01/2003
01-06419	Violette Copelman and Micha Copelman vs. J.C. Bradford & Co. n/k/a UBS PaineWebber, Inc., Michael John Bayes, et al.	03/13/2003
01-02873	Nilesh Patel v. Merrill Lynch, Pierce, Fenner & Smith, Inc., Merrill Lynch Int, Private Client Group and Anil Chaturvedi	03/06/2003
01-04101	William Cohen & Fido's Fences, Inc. vs. Weatherly Securities, Inc. and David Sulkes	02/10/2003
00-03337	John Navi v. Michael Broderick Prendergast	07/02/2001

ARBITRATOR BACKGROUND INFORMATION

I am a 1970 graduate of the College of Mount Saint Vincent, including a year in Paris, where I received a "Certificat de la Langue Francaise" from the Sorbonne. In 1970 and 1971, I was a teaching Assistant in French, as I studied for and received my Master's degree from Fordham University. In 1977, I graduated from Washington University Law School, where I was a published member of the law review. Authored "Construction of a Will and the Threshold Question of State Action."

I began working as Associate Counsel at Drexel Burnham in January 1978. Because of the small size of the Legal department at the time, I acquired a well-varied background, including securities law, corporate law, inter-broker disputes, customer complaints, and employment law. I also represented the firm in numerous, non-litigated, customer-related problems and a few arbitrations. I was one of three members of Drexel Burnham's Political Action Committee, along with the chairman of the firm. I was also elected to the Academy of Women Achievers.

In 1981, I became the Assistant Branch Manager of Drexel Burnham's headquarters branch, its largest branch, taking among other tests, Series 7, 8, and 63, and becoming a Registered Options Principal. My duties were principally the administration of the branch, including the legal supervision of what grew to 100 employees consisting of brokers, sales assistant, an order room, and a cashier's operation. No lawsuits were brought against the brokers or branch during the period of my responsibility. I also recruited brokers and hired and reviewed support personnel.

In 1986, I became a full-time, top-producing broker, and was repeatedly a member of the President's Club for top brokers.

In 1989, the Sales Division of Drexel Burnham was sold to Smith Barney, where I continued as a successful broker until 1993, when I left to raise my son. In April 2003, I began the first of several mediator trainings and now also mediate in the New York State Court system, community mediations, and at the EEOC. I maintain my lifelong interest in Wall Street.

NASD Dispute Resolution Services

Arbitrator ID: A31440

NASD Dispute Resolution Services

Arbitrator ID: A34320

Arbitrator Disclosure Report

Arbitrator information, other than the publicly available awards section, below, last amended on 09/05/2006

ARBITRATOR

Name:	Mr. Nathan M. Lubow	Skills in Controversy:	there is no neutral skills in controversy data available
Arbitrator ID:	A34320		
City/State/Country:	New York / NY / United States		
Classification:	Public	Skills in Securities:	there is no neutral skills in securities data available
NASD Mediator:	No		

EMPLOYMENT

<u>Start Date</u>	<u>End Date</u>	<u>Firm</u>	<u>Position</u>
04/2000		Mahoney Cohen & Company, CPA, PC	Senior Consultant
04/1990	03/2000	Mahoney Cohen & Company, CPA, PC	Partner
07/1978	07/1990	KPMG	Partner
02/1973	07/1978	Clarence Rainess & Co., CPA	Partner
02/1969	02/1973	Aronson & Oresman, CPA	Partner
07/1964	02/1973	Aronson & Oresman, CPA	Staff Accountant
07/1962	07/1964	Arlan Department Stores	Chief Accounting Officer
07/1953	07/1962	Aronson & Oresman, CPA	Staff Accountant
05/1953	07/1953	Unemployed	not provided
05/1951	05/1953	U.S. Army	Counter Intelligence Corp.
07/1950	07/1951	Aronson & Oresman, CPA	Staff Accountant

EDUCATION

<u>Start Date</u>	<u>End Date</u>	<u>School</u>	<u>Degree</u>
09/1948	09/1950	University of Pa., Wharton School	Ph.B in Business
09/1946	09/1948	University of Chicago	BS in Economics

TRAINING

<u>Completed</u>	<u>Description</u>	<u>Details</u>	<u>Firm/School</u>	<u>Hours</u>	<u>Location</u>
09/2005	Expungement online mini-course		NASD	1.5	online
08/2005	New Panel Member Training [NASD]		NASD	11	location varies
08/2005	Civility Training		NASD	1.5	location varies

DISCLOSURE/CONFLICT INFORMATION

<u>Type</u>	<u>Firm Name</u>	<u>Details</u>
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NASD Dispute Resolution Services

Arbitrator ID: A34320

Has an account with	Merrill Lynch Pierce Fenner & Smith	Merrill Lynch Pierce Fenner & Smith (has)
Family Member has relationship with	Merrill Lynch Pierce Fenner & Smith	Wife has an account with Merrill Lynch
Is a member of		AICPA
Is a member of		Commerical Finance Association
Is a member of		NY Advisory Board of the Valley Nat'l Bank
Is a member of		NYS Society of CPA's
Had an account with	Bear Stearns & Co., Inc.	Bear Stearns (had)
Had an account with	Bear, Stearns Securities Corp.	Bear Stearns (had)
Had an account with	Drexel Burnham Lambert, Inc.	Drexel Burnham Lambert, Inc. (had)
Family member had relationship with	Merrill Lynch Pierce Fenner & Smith	Son Was employed by Merrill Lynch (was)
Family member had relationship with	Morgan Stanley DW Inc.	Son Was Employed by Morgan Stanley (was)

PUBLICLY AVAILABLE AWARDS

Publicly Available Awards Section, Current as of 11/10/2006

Case ID Case Name**Close Date**

there is no award data available

ARBITRATOR BACKGROUND INFORMATION

Since 2000, I have been employed as a Senior Consultant at Mahoney Cohen & Company, CPA, PC. Prior to that, I was a partner and a member of the Executive Committee of that firm. I relate to clients in both the public and private sectors, specializing in textiles, apparel and finance companies. I also assist debtors' and creditors' committees, work-out department and troubled companies.

In 1978, I became a partner in Main Lafrenz CPA, which became KMG Main Hurdman, that firm merged into KPMG, and I became a partner there from 1987 to 1990. At KPMG, I was a Senior Audit Engagement Partner, Middle Market Practice Leader and Chairman of the Apparel Practice Committee.

Prior to the above, I was a partner at Clarence Rainess and Company CPA's and a member of its national executive board. My career stated out at Aronson and Oresman CPA's in 1950, where I rose from entry-level junior accountant to partner. In 1962, I joined Arian's Department Stores as Assistant Treasurer and Chief Accounting Officer and remained there until 1964.

I served in the Counter-Intelligence Corps of the US Army from 1951 to 1953.

I am currently a member of the AICPA and the NYS Society of CPA's. I am on the New York Advisory Board of the Valley National Bank and the Founders Leadership Council of the Educational Foundation of the Commercial Finance Association. I have also had a long term service as a member of the Finance Committee of the Friars Club and, as a member of the Board of Directors and the treasurer of several charitable and community groups. I have written, lectured and delivered seminars on a wide range of accounting and financial topics.

I received a PhB from the University of Chicago in 1948 and a BS in Economics from the Wharton School of the University of Pennsylvania in 1950.

Exhibit L

LIDDLE & ROBINSON, L.L.P.

800 THIRD AVENUE
NEW YORK, N.Y. 10022

(212) 687-8500
FACSIMILE: (212) 687-1505
www.liddle-robinson.com

MIRIAM M. ROBINSON (RETIRED)

JAMES A. BATSON
BLAINE M. BORTNICK
ETHAN A. GRECHER
DAVID I. GREENBERGER
MICHAEL E. GRENET
JAMES R. HUBBARD
JEFFREY L. LIDDLE
DAVID M. MAREK
CHRISTINE A. PALMIERI
MARC A. SUSSWEIN

EMAIL: bbortnick@liddle-robinson.com

JEFFREY ZIMMERMAN
STEPHEN J. STEINLIGHT
ANDREA M. PAPARELLA
REBECCA A. SAENDER
LISA D. SIOMAN
DINA N. WEINBERG
DAVID H. FELOSTEIN

November 20, 2006

BY MAIL & FACSIMILE/ (301) 527-4873

Northeast Processing Center
NASD Dispute Resolution, Inc.
One Liberty Plaza
165 Broadway, 27th Floor
New York, New York 10006

Re: Jeffrey S. Vaughn, individually and on behalf of those class members
similarly situated v. Leeds, Morelli & Brown, P.C., Leeds, Morelli &
Brown, L.L.P., Prudential Securities, Inc., et al.
NASD Dispute Resolution Arbitration No. 06-00534

To Whom It May Concern:

We represent the Claimant, Jeffrey S. Vaughn, in the above-referenced arbitration and hereby submit the parties' unanimous preference for chairperson. In addition, we request that you change the contact information for Mr. Vaughn's representative.

The parties unanimously agree that Mr. Lewis S. Kurlantzick should serve as chairperson.

The contact information for Mr. Vaughn's representative should be changed to:

Jeffrey L. Liddle, Esq.

LIDDLE & ROBINSON, L.L.P.

Northeast Processing Center

2

November 20, 2006

Liddle & Robinson, L.L.P.
800 Third Avenue
New York, New York 10022
Phone: (212) 687-8500
Fax: (212) 687-1505
E-mail: jliddle@liddlerobinson.com

Respectfully submitted,

By: 
Blaine H. Bortnick

cc: Gerald E. Harper, Esq.
Shari Claire Lewis, Esq.

LIDDLE & ROBINSON, L.L.P.

**800 THIRD AVENUE
NEW YORK, N.Y. 10022**

**(212) 687-8500
FACSIMILE: (212) 687-1505
www.liddle-robinson.com**

MIRIAM M. ROBINSON (retired)

JAMES A. BATSON
BLAINE H. BORTNICK
ETHAN A. BRECHER
DAVID I. GREENBERGER
MICHAEL E. GREINERT
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JEFFREY L. LIDDLE
DAVID M. MAREK
CHRISTINE A. PALMIERI
MARC A. SUSSWEIN

JEFFREY ZIMMERMAN
STEPHEN J. STEINLIGHT
JOHN A. KAROL
ANDREA M. PAPARELLA
REBECCA A. SAENGER
LISA D. SIDMAN
DAVID H. FELDSTEIN

FACSIMILE

TO: Gerald E. Harper, Esq.

FROM: Blaine H. Bortnick, Esq.

DATE: November 20, 2006

FACSIMILE NUMBER: (212) 373-2225

OUR FACSIMILE NUMBER: (212) 687-1505

NUMBER OF PAGES TO FOLLOW: 2

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